

TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number	10/713,777
Filing Date	November 13, 2003
First Named Inventor	Nakagawa, Shigeru
Art Unit	2633
Examiner Name	Unassigned
Attorney Docket Number	089992-000000US

ENCLOSURES (Check all that apply)

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PTO Form SB/08A and SB/08B
Copy of European Search Report
Copy of 5 cited references |
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Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Townsend and Townsend and Crew LLP
Signature	<i>Kenneth R. Allen</i>
Printed name	Kenneth R. Allen
Date	1-11-04

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PATENT
Attorney Docket No.: 089992-000000US
Client Reference No.: PFBA-03045-US

On _____

TOWNSEND and TOWNSEND and CREW LLP

By: _____

Robert Jackson



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SHIGERU NAKAGAWA et al.

Application No.: 10/713,777

Filed: November 13, 2003

For: OPTICAL MODULE AND
OPTICAL COMMUNICATION
SYSTEM

Examiner: Unassigned

Art Unit: 2633

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

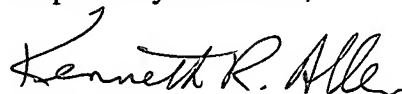
The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the Non-U.S. patent references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

Also enclosed is a copy of the Search/Examination report corresponding to the European application.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Kenneth R. Allen". The signature is fluid and cursive, with a large initial "K" and a long, sweeping underline.

Kenneth R. Allen
Reg. No. 27,301

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KRA:rlj
60393763 v1

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	10/713,777
		Filing Date	November 13, 2003
		First Named Inventor	Nakagawa, Shigeru
		Art Unit	2633
Examiner Name	Unassigned		
Sheet 1 of 2	Attorney Docket Number		089992-000000US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
	1	US-5,004,447	04-02-1991	Soref	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	2	EP	0455347		11-6-1991			<input type="checkbox"/>
	3	EP	0857996		8-12-1998			<input type="checkbox"/>
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60393763 v1

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				Application Number	10/713,777
				Filing Date	November 13, 2003
				First Named Inventor	Nakagawa, Shigeru
				Art Unit	2633
				Examiner Name	Unassigned
Sheet	2	of	2	Attorney Docket Number	089992-000000US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	4	Glastere G. et al. " Monolithic Integration of 2X Switch and Optical Amplifier with 0 DB Fibre to Fibre Insertion Loss Grown by LP-MOCDVD" Electronics Letters, IEE Stevenage, GB, vol. 29, no.1, pages 124-126, January 7, 1993	
	5	Kohtoku m et al. "High-Speed Ingaalas-Inalas MQW Directional Coupler Waveguide Switchmodules Integrated With A Spotsizer Converter Having a Lateral Taper, Thin-Film Core, and Ridge" Journal of Lightwave Technology, IEEE, New York, US. vol. 18, no. 3, pages 360-369 March 2000,	
	6	Nagai S et al. "Ingaasp/Inp Multi-Mode Inteference Photonic Switches for Monolithic Photonic Integrated Circuits" Japanese Journal of Applied Physics, Publication Office Japanese Journal of Applied Physics. Tokyo, Japan vol. 38, no. 2B Part 1, pages 1269-1272, February 1999	

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